

Element Performance Inspection (EPI) Data Collection Tool
3.1.1 Passenger Handling (OP)
Revision#:3 Revision Date:09/15/2009

ELEMENT SUMMARY INFORMATION

Scope of Element:

Purpose (operator's responsibility): To provide a safe environment during passenger handling operations.

Objective (FAA oversight responsibility): To determine:

- The effectiveness of the operator's procedures in meeting the desired output of the process,
- If the operator follows its procedures, controls, process measurements, and interfaces, and
- If there were any changes in the personnel identified by the operator as having responsibility and/or authority, for the Passenger Handling process.

Specific Instructions:

This element is applicable to all passenger carrying operations conducted with or without flight attendants.

Related EPIs:

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SUPPLEMENTAL INFORMATION

Regulatory Requirements:

121.135, Manual contents
121.311, Seats, safety belts, and shoulder harnesses.
121.317, Passenger information requirements, smoking prohibitions, and additional seat belt requirements.
121.574, Oxygen for medical use by passengers.
121.575, Alcoholic beverages.
121.580, Prohibition on interference with crewmembers.
121.586, Authority to refuse transportation.
SFAR 106.3, SFAR 106

Related CFRs & FAA Policy/Guidance:

Related CFRs:

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FAA Policy/Guidance:

FAA Order 8900.1, Volume 3, Chapter 23, Section 4
FAA Order 8900.1, Volume 3, Chapter 23, Section 5
FAA Order 8900.1, Volume 3, Chapter 23, Section 6
FAA Order 8900.1, Volume 3, Chapter 33, Section 4
FAA Order 8900.1, Volume 3, Chapter 33, Section 6
FAA Order 8900.1, Volume 14, Chapter 2, Section 1
AC 91-62A, Use of Child Seats In Aircraft
AC 120-87A, Use of Child Restraint Systems on Aircraft
AC 121-35, Management of Passengers During Ground Operations Without Cabin Ventilation
AC 121-36, Management of Passengers who may be Sensitive to Allergens

EPI SECTION 1 - PERFORMANCE OBSERVABLES	
Objective: The tasks and questions in this section of the EPI are designed to assist in determining if the operator follows its written procedures and controls and meets the established performance measures of the process. The initial series of questions address the output(s) of the process and the last several questions address whether or not various aspects of the process were followed.	
Tasks	
	The inspector shall accomplish the following tasks:
1	Review the information listed in the Supplemental Information section of this DCT.
2	Review policies, procedures, instructions, and information for this element.
3	Review the most recently accomplished Safety Attribute Inspection (SAI) for this element.
4	Observe the performance of this element to gain an understanding of the procedures, instructions, and information.
5	Discuss this element with the personnel who perform the duties and responsibilities required by the process.

Questions		
1.1	Were no passengers boarded who appeared to be intoxicated? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic <i>Related Performance JTIs:</i> 1. Check in the passenger staging area that air carrier personnel, and in the aircraft cabin that the responsible crewmember, does not allow a person who appears to be intoxicated, to board an aircraft in accordance with the certificate holder's design (JTI ID: 227) <i>Sources: 121.575(c)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.2	Were persons with disabilities boarded and provided transportation in accordance with the operator's procedures? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic <i>Related Performance JTIs:</i> 1. Check at the passenger staging area that the air carrier does not refuse transportation to a passenger on the basis that: The passenger may need the assistance of another person to move expeditiously to an exit in the event of an emergency or his transportation would or might be harmful to safety, unless that passenger cannot comply with the carrier's established procedures or fails to comply with reasonable notice requirements; and that the air carrier makes available to the public at each airport it serves a copy of each procedure it establishes in regards to its authority to refuse transportation to a passenger needing	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<p>assistance in accordance with certificate holder's design. (JTI ID: 242) <i>Sources:</i> 121.583(a)(1); 121.586(d)</p> <p>2. Check in the FAA Location that the certificate holder has provided the certificate-holding district office with a copy of each procedure it establishes regarding its authority to refuse transportation to a passenger needing assistance; and has made revisions to its authority to refuse transportation, as necessary, in the interest of safety or in the public interest and that the revisions were completed within 30 days of notification from the Administrator, unless a petition to reconsider the notice has been filed with the certificate-holding district office, in accordance with the certificate holder's design. (JTI ID: 262) <i>Sources:</i> 121.586(b); 121.586(c)</p>	
1.3	<p>Were passenger disturbances handled and reported in accordance with the operator's procedures?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check in the aircraft cabin that the responsible crewmember handles passengers who do not comply with smoking prohibitions, and that the crewmember can explain how to approach passengers who are not complying with the "No Smoking" rules, using non-threatening methods/actions, and without the involvement of other passengers, in accordance with certificate holder's design. (JTI ID: 86) <i>Sources:</i> FAA Order 8900.1, Volume 14, Chapter 2, Section 1, Paragraph 14-155</p> <p>2. Check in the aircraft cabin that when there is a non-compliant passenger who refuses to provide identification, the pilot-in-command notifies the operator that there is a non-compliant passenger onboard who refuses to identify himself/herself, and requests that the operator have law enforcement officials meet the flight at the gate, in accordance with certificate holder's design. (JTI ID: 88) <i>Sources:</i> FAA Order 8900.1, Volume 14, Chapter 2, Section 1, Paragraph 14-155</p> <p>3. Check in the aircraft cabin that the responsible crewmember notifies the flight crew if a passenger is suspected of smoking in the lavatory, tampering with the lavatory smoke detector, or if the passenger refuses to extinguish a cigarette; that the crewmember dealing with the non-compliant passenger, asks for identification to include: Picture I.D., Address, Physical description, Seat number, Boarding location, Names and addresses of any traveling companions; and that the responsible crewmember obtains the names and addresses of other passengers seated in the vicinity of the smoker as witnesses in accordance with certificate holder's design. (JTI ID: 89) <i>Sources:</i> FAA Order 8900.1, Volume 14, Chapter 2, Section 1, Paragraph 14-155</p> <p>4. Check in the FAA location that instances of non-compliance with the smoking regulations have been reported in accordance with the certificate holder's design, and forwarded to the FAA CHDO in a timely manner. (JTI ID: 92) <i>Sources:</i> FAA Order 8900.1, Volume 14, Chapter 2, Section 1, Paragraph 14-155</p> <p>5. Check in the aircraft cabin by interviewing the responsible</p>	<p><input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable</p>

	<p>crewmembers to determine that they have: Knowledge of how they will handle physically abusive, non-compliant passengers, (i.e. passenger becomes physically abusive either toward another passenger or crewmember, or if a passenger has to be physically restrained); Have knowledge of the procedures of handling abusive passengers, that the appropriate information should be obtained, and the PIC should notify the operator and request that the appropriate law enforcement officials meet the flight at the gate; and that they are aware of the requirement to report any person who consumes alcohol that was not served to him by the certificate holder, or any disturbance caused by a person who appears to be intoxicated on its aircraft, in accordance with the certificate holder's design. (JTI ID: 223)</p> <p>Sources: FAA Order 8900.1, Volume 14, Chapter 2, Section 1, Paragraph 14-155</p> <p>6. Check in the FAA location that the operator has reported to the FAA within five days, any person who fails to comply with the regulation that states, passengers may only consume alcohol served to them by the certificate holder, or any disturbance caused by a person who appears to be intoxicated on its aircraft, in accordance with certificate holder's design. (JTI ID: 230)</p> <p>Sources: 121.575(d)</p>	
1.4	<p>Were approved child restraint systems boarded and handled in accordance with the operator's procedures?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the air carrier specified location that personnel ask the age of any lap child in accordance with the certificate holder's design. (JTI ID: 12)</p> <p>Sources: FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3569</p> <p>2. Check in the aircraft cabin that: 1) A child who has reached his second birthday, occupies an approved child restraint system furnished by an accompanied adult, or the certificate holder, provided the adult is attending to the safety of the child; 2) The responsible crewmember verifies that child restraint seats are not located one row forward of, or one row aft of, or in an emergency exit row; 3) The responsible crewmember verifies that the child restraint systems are only placed in an aisle seat if the seat next to the child is occupied only by the attendants responsible for the child, or other family members, in accordance with the certificate holder's design. (JTI ID: 16)</p> <p>Sources: 121.311(b)(2); 121.311(b)(2)(i); AC 91-62A 8.a.(1) FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3558</p> <p>3. Check in the aircraft cabin that the responsible crewmember verifies that children are secured in the child restraint system anytime the seatbelt sign is lighted and whenever instructed by crewmembers to fasten seatbelts, in accordance with the certificate holder's design. (JTI ID: 22)</p> <p>Sources: AC 91-62A 8.c.</p> <p>4. Check in the aircraft cabin that the responsible crewmember verifies: That the child restraint system is located in the window seat; That on a wide-body aircraft the child restraint system is placed in a non-aisle</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<p>seat, or in a middle row of a double-aisle seat grouping; That the same family or traveling group with more than one child restraint system, when practical, are located in the same row; and, That child restraint systems are not blocking access ways and passageways to emergency exits in accordance with the certificate holder's design. (JTI ID: 23)</p> <p><i>Sources:</i> AC 91-62A 8.a.(1)(2)(3)(4)</p>	
5.	<p>Check in the passenger staging area that the responsible air carrier personnel verify that booster seats (those seats that do not have backs) are not used; and check in the aircraft cabin that a responsible crewmember verifies that booster seats that do not have backs are not used, in accordance with the certificate holder's design. (JTI ID: 31)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3558</p>	
6.	<p>Check in the aircraft cabin that the responsible crewmember verifies: That a child restraint system supplied by the carrier is free of any defects, functions properly, and the restraint system is properly installed; That the parent has properly secured the child restraint system to the passenger seat and that the child is properly secured in the child restraint system; and, That child restraint systems have a solid back and seat, and contain restraint straps that securely hold a child in the restraint system in accordance with the certificate holder's design. (JTI ID: 33)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3558</p>	
7.	<p>Check in the aircraft cabin by interviewing the responsible crewmember that in the case of an emergency evacuation, crewmembers would brief the parent to remove the child, and leave the child restraint seat attached to the aircraft passenger seat in accordance with the certificate holder's design. (JTI ID: 36)</p> <p><i>Sources:</i> FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3558</p>	
8.	<p>Check in the passenger staging area that the responsible air carrier personnel verify and in the aircraft cabin that the responsible crewmember verifies that any child restraint system allowed to be used is approved for use by checking for the required labels, in accordance with the certificate holder's design. (JTI ID: 40)</p> <p><i>Sources:</i> 121.311(b)(2)(ii)(A); 121.311(b)(2)(ii)(B)(1); 121.311(b)(2)(ii)(B)(2); 121.311(b)(2)(ii)(C)</p>	
9.	<p>Check in the aircraft cabin: That a child does not occupy booster-type child restraint systems, vest-and harness-type child restraint systems, or lap held child restraints; or that approved child restraint systems are properly secured to only an approved aircraft forward-facing seat or berth and are not placed in sideward facing passenger seats, during movement on the surface, take-off, or landing, and are placed in a location which has been determined to be appropriate by the certificate holder in accordance with the certificate holder's design. (JTI ID: 44)</p> <p><i>Sources:</i> 121.311(b)(2)(ii)(A); 121.311(b)(2)(ii)(D); 121.311(c)(1); 121.311(c)(3); FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3558</p>	
10.	<p>Check in the passenger staging area that the responsible airline personnel verify and at the aircraft cabin that the responsible crewmember verifies that a child is using an approved child restraint system and does not exceed the weight limits of the seat in accordance with the certificate holder's design. (JTI ID: 47)</p> <p><i>Sources:</i> 121.311(b)(2)(iii)(B)</p>	

	<p>11. Check in the aircraft cabin that personnel do not prohibit a child from occupying an approved child restraint system furnished by the child's parent, guardian, or designated attendant, providing the child holds a ticket for an approved seat or berth, or such seat or berth is otherwise made available by the certificate holder for the child's use and the child is accompanied by an adult, in accordance with the certificate holder's design. (JTI ID: 50)</p> <p><i>Sources:</i> 121.311(c)(2); 121.311(c)(2)(i); 121.311(c)(2)(ii)</p>	
1.5	<p>Were applicable requirements met regarding the use of seatbelts and seatbelt/shoulder harnesses and passenger seatbacks?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check in the aircraft cabin that each passenger who has reached his second birthday has: 1) An approved seat or berth; and, 2) An approved safety belt for separate use during takeoff, enroute flight, and landing, except that two persons occupying a berth, multiple lounge, or divan seat may share one approved safety belt during enroute flight only, in accordance with the certificate holder's design. (JTI ID: 10) <i>Sources:</i> 121.311(a)(1); 121.311(a)(2) 2. Check in the aircraft cabin that: 1) No restraint device is being used to restrain any lap child who is being held by an adult; and, 2) A child does not occupy booster-type child restraint systems, vest-and harness-type child restraint systems, or lap held child restraints, during movement on the surface take-off and landing in accordance with the certificate holder's design. (JTI ID: 14) <i>Sources:</i> 121.311(b)(1); 121.311(b)(2)(ii)(D); 121.311(c)(1) 3. Check in the aircraft cabin that if seatbacks are placed in other than the upright position for takeoff and landing, it is in accordance with certificate holder's design and does not obstruct access to the aisle or to any emergency exit. (JTI ID: 58) <i>Sources:</i> 121.311(e); 121.311(e)(2) 4. Check in the aircraft cabin that if seats are used for cargo, or for persons unable to sit erect for medical reasons, it is in accordance with certificate holder's design and does not obstruct any passenger's access to the aisle or any emergency exit. (JTI ID: 59) <i>Sources:</i> 121.311(e)(2) 5. Check in the aircraft cabin that each occupant of a seat equipped with a shoulder harness or with a combined safety belt and shoulder harness has it properly secured about that occupant during takeoff and landing. Except that the shoulder harness that is not combined with a safety belt may be unfastened if the occupant cannot perform the required duties. (JTI ID: 64) <i>Sources:</i> 121.311(h) 6. Check in the aircraft cabin that at least one legible sign or placard that reads "Fasten seatbelt while seated" is visible from each passenger seat in accordance with certificate holder's design. (JTI ID: 83) <i>Sources:</i> 121.317(d) 7. Check at the aircraft cabin that at each unoccupied seat, the safety belt and shoulder harness, if installed, was secured so as: 1) Not to interfere with crewmembers in the performance of their duties; and 2) Not to 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	<p>interfere with the rapid egress of occupants in an emergency, in accordance with the certificate holder's design. (JTI ID: 269)</p> <p>Sources: 121.311(i)</p>	
1.6	<p>Were applicable requirements regarding prohibition of smoking observed?</p> <p>Updated: Rev # 3 on 09/15/2009</p> <p>Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check in the aircraft cabin that on non-smoking flights: Either the "No-Smoking" passenger information signs are lighted or one or more "No-Smoking" placards are posted during the entire flight; and that if the lighted "No-Smoking" signs and placards are used, the signs remain lighted during the entire flight segment in accordance with certificate holder's design. (JTI ID: 81) <p>Sources: 121.317(c)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.7	<p>Were passenger information signs and required informational placards present and used in accordance with the operator's design?</p> <p>Updated: Rev # 3 on 09/15/2009</p> <p>Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <ol style="list-style-type: none"> 1. Check in the aircraft cabin that cockpit crew members illuminate the seatbelt sign before movement on the surface, during takeoff, landing and, when in the judgement of the pilot-in-command it should be illuminated, in accordance with certificate holder's design. (JTI ID: 69) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3561</p> <ol style="list-style-type: none"> 2. Check in the aircraft cockpit and at the aircraft cabin that when the seatbelt sign is turned on, the responsible crewmember makes an announcement advising passengers that when the seatbelt sign is illuminated, Federal Regulations require passengers to fasten their seatbelts; and that when the seatbelt sign is illuminated, the responsible crewmembers periodically remind passengers that the seatbelt sign is lighted, and additional and forceful announcements are made if passengers stand and the seatbelt sign is illuminated in accordance with the certificate holder's design. (JTI ID: 70) <p>Sources: FAA Order 8900.1, Volume 3, Chapter 33, Section 6, Paragraph 3-3561</p> <ol style="list-style-type: none"> 3. Check in the aircraft cabin that the seatbelt sign is turned on during any movement on the surface, for each takeoff and landing, and at any other time considered necessary by the pilot, in accordance with certificate holder's design. (JTI ID: 76) <p>Sources: 121.317(b)</p> <ol style="list-style-type: none"> 4. Check in the aircraft cabin that there is in each lavatory a sign or placard that reads, "Federal Law Provides for a penalty up to \$2,000 (\$2,200) for tampering with the smoke detector installed in this lavatory"; and that on flight segments where smoking is permitted the "No-Smoking" sign is turned on during movement on the surface, for each takeoff /landing, and at any other time considered necessary by 	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable

	<p>the pilot-in-command, in accordance with certificate holder's design. (JTI ID: 84)</p> <p>Sources: 121.317(e); 121.317(j)</p> <p>5. Check in the aircraft cabin that on non-transport category airplanes type certificated after December 31, 1964, and manufactured before December 20, 1977, the airplane is: equipped with at least one "fasten seatbelt," placard the placard is legible to each person seated in the cabin during movement on the surface, for each takeoff/landing, and oral instructions are given by a crewmember any other time considered necessary by the pilot-in-command, in accordance with certificate holder's design. (JTI ID: 97)</p> <p>Sources: 121.317(l)</p>	
1.8	<p>Were restricted persons (such as armed individuals, prisoners, escorts, and intoxicated passengers) not served alcohol onboard the aircraft?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check at the aircraft cabin that no alcoholic beverages are served to: 1) Any person aboard who appears to be intoxicated; 2) Any person aboard who is escorting a person or being escorted by armed law enforcement officers; and, 3) Any person aboard who has a deadly or dangerous weapon accessible to him while aboard the aircraft, in accordance with the certificate holder's design. (JTI ID: 268)</p> <p>Sources: 121.575(b)(1); 121.575(b)(2); 121.575(b)(3)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.9	<p>If applicable, did flight attendants monitor passenger compliance with the regulations throughout the flight?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.10	<p>Were persons prohibited from drinking alcoholic beverages onboard the aircraft unless the alcoholic beverage was served by the operator?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.11	<p>If applicable, were the requirements met regarding the use of medical oxygen equipment?</p> <p>Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic</p> <p><i>Related Performance JTIs:</i></p> <p>1. Check in the aircraft cabin that no prohibited portable electronic devices are being used, in accordance with the certificate holder's design. (JTI ID: 8)</p> <p>Sources: 121.306(a)</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.12	<p>If applicable, were the requirements met regarding the use of portable oxygen concentrators?</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain

	Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Not Observable
1.13	Did the operator follow policies, procedures, instructions, and information for this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.14	Did the operator follow controls for this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.15	Did the records for this element comply with the instructions? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.16	Were the process measurements for this element: <ul style="list-style-type: none"> • Effective in identifying actual or potential problems, and • Did the operator identify and take corrective action for identified problems? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.17	Were the observed interfaces identified and documented by the operator? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
1.18	Were the observed interfaces, identified and documented by the operator, adequate to ensure that the intended results were achieved? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

EPI SECTION 1 - PERFORMANCE OBSERVABLES	
Drop-Down Menu	
1.	Personnel.
2.	Tools and Equipment.
3.	Technical Data.
4.	Policies, procedures, instructions, or information.
5.	Materials.
6.	Facilities.
7.	Controls.
8.	Process Measures.
9.	Interfaces.

10.	Desired Outcome.
11.	Other.

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES

Objective:

Answers to questions in this section address the responsibility and authority of the people who manage this process. They will help determine if there is a qualified and knowledgeable person who:

- Is responsible for the process,
- Is answerable for the quality of the process, and
- Has the authority to establish and modify the process.

Note: The person with the authority may or may not be the person with the responsibility.

Tasks

	The inspector shall accomplish the following tasks:
1	Identify the person who has overall responsibility for the processes associated with this element.
2	Identify the person who has overall authority for the processes associated with this element.
	Note: If there have been no major changes in key personnel or the program since the last SAI or EPI was accomplished, then only answer questions 1 and 2 below, and select "No Change" (N/C) for the remaining questions. If changes have occurred that affect the responsibility or authority attributes for this element, then accomplish all tasks and answer all questions.
3	Review the duties and responsibilities for the person(s) who manage the processes associated with this element.
4	Review the appropriate organizational chart.
5	Discuss the processes associated with this element with the management personnel identified in tasks 1 and 2.
6	Review the qualifications and work experience of the management personnel identified in tasks 1 & 2.

Questions

2.1	Is the identified person who is responsible for the quality of the processes associated with this element actively filling that position? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.2	Is the identified person who has authority to establish and modify the operator's policies, procedures, instructions and information for the processes associated with this element actively filling that position? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.3	Does the responsible person know that he/she has responsibility for the processes associated with this element? Updated: Rev # 3 on 09/15/2009	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

	Kind Of Question: Flag, Supplemental, Domestic	
2.4	Does the person with authority know that he/she has authority for the processes associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.5	Does the person with responsibility for the processes associated with this element meet the qualification and work experience standards? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.6	Does the person with authority to establish and modify the processes associated with this element meet the qualification and work experience standards? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.7	Does the person with responsibility understand the controls, process measurements, and interfaces associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.8	Does the person with authority understand the controls, process measurements, and interfaces associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.9	Does the person with responsibility know who has authority to establish and modify the processes associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable
2.10	Does the person with authority know who has the responsibility for the processes associated with this element? Updated: Rev # 3 on 09/15/2009 Kind Of Question: Flag, Supplemental, Domestic	<input type="checkbox"/> Yes <input type="checkbox"/> No, Explain <input type="checkbox"/> Not Observable

EPI SECTION 2 - MANAGEMENT RESPONSIBILITY & AUTHORITY OBSERVABLES Drop-Down Menu	
1.	Assignment of responsibility.
2.	Assignment of authority.
3.	Does not understand policies, procedures, instructions, or information.
4.	Does not understand controls.
5.	Does not understand process measurements.
6.	Does not understand interfaces.
7.	Span of control.
8.	Position vacant.
9.	Other.

